



IAPD Report

Louis Dominick Lizza II

CRD# 7163568

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4

i Please be aware that fraudsters may link to Investment Adviser Public Disclosure from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.
For more information read our [investor alert](#) on imposters.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

Louis Dominick Lizza II (CRD# 7163568)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **03/22/2022**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	MUTUAL OF OMAHA INVESTOR SERVICES, INC.	CRD# 611	08/20/2019
B	MUTUAL OF OMAHA INVESTOR SERVICES, INC.	CRD# 611	01/09/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

FIRM	CRD#	LOCATION	REGISTRATION DATES
------	------	----------	--------------------

No information reported.

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative?

No



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with 5 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MUTUAL OF OMAHA INVESTOR SERVICES, INC.**
Main Address: 3300 MUTUAL OF OMAHA PLAZA
OMAHA, NE 68175-1020
Firm ID#: 611

Regulator	Registration	Status	Date
B FINRA	Invest. Co and Variable Contracts	Approved	01/09/2020
B FINRA	General Securities Representative	Approved	08/20/2020
B FINRA	Investment Co./Variable Contracts Prin	Approved	05/09/2022
IA Arizona	Investment Adviser Representative	Approved	08/20/2019
B Arizona	Agent	Approved	01/21/2020
B Colorado	Agent	Approved	05/13/2021
B Florida	Agent	Approved	01/21/2020
B Missouri	Agent	Approved	09/10/2021
B New York	Agent	Approved	06/14/2021

Branch Office Locations

MUTUAL OF OMAHA INVESTOR SERVICES, INC.
3200 EAST CAMELBACK ROAD
SUITE 190
PHOENIX, AZ 85018




Qualifications

PASSED INDUSTRY EXAMS




This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	05/09/2022

General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7TO)	Series 7TO	08/20/2020
 Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/09/2020
 Securities Industry Essentials Examination (SIE)	SIE	11/13/2019

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/18/2020
 Uniform Investment Adviser Law Examination (S65)	Series 65	08/19/2019

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

No information reported.

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2019 - Present	Mutual of Omaha Investor Services	Registered Representative	Y	Phoenix, AZ, United States
07/2019 - Present	Mutual of Omaha Insurance Company	Insurance Agent	N	Phoenix, AZ, United States
04/2019 - 06/2019	MassMutual Insurance Company	Financial Services Representative	N	Scottsdale, AZ, United States
02/2018 - 03/2019	UNEMPLOYED	Unemployed	N	Scottsdale, AZ, United States
05/2017 - 01/2018	SparrowOne, LLC	Product Marketing Manager	N	Scottsdale, AZ, United States
05/2015 - 05/2017	SparrowOne, LLC	Project Manager	N	Scottsdale, AZ, United States
05/2014 - 05/2015	SparrowOne, LLC	Assistant Account Manager	N	Scottsdale, AZ, United States
05/2013 - 05/2014	SparrowOne, LLC	Assistant Accountant	N	Scottsdale, AZ, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

Insurance Agent - Start Date: 07/2019 - Non-investment Related - Insurance lines of business: 25 - Hours/per week during trading hours: 25

I Current Hold a Accident and Health / Sickness / Life insurance License



End of Report

This page is intentionally left blank.